

RECEIVED
CENTRAL FAX CENTER

AUG 31 2005

PTO/SB/25 (08/03)

Approved for use through 07/31/2006. OMB 0651-0031

Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Certificate of Transmission under 37 CFR 1.8

Serial No. 09/886,373

Application of: Kathy Stark, Frederic Herrmann, Gia-Khanh Nguyen, Rebecca Ramer

Filed: June 22, 2001

Art Unit: 2152

Examiner: Chankong, Dohm

Attorney Docket No. P5592

For: NETWORK AND METHOD FOR COORDINATING HIGH AVAILABILITY
SYSTEM SERVICES

Confirmation No.: 5675

Customer No.: **32658**I hereby certify that this correspondence with the following document(s) is being
facsimile transmitted to the United States Patent and Trademark Office

1. Amendment in response to the Final Office Action dated July 8, 2005.
2. Declaration of Prior Invention Under 37 C.F.R. § 1.131.

on

31 August 2005

Date

15No. of Pages
(incl. Coversheet)

to centralized fax number: 571-273-8300



Signature

Julie Lange

Typed or printed name of person signing CertificateNote: Each paper must have its own certificate of transmission, or its certificate must
identify each submitted paper.

Client Reference No. 80168.0123

Fax No. 719-448-5922

9954

BEST AVAILABLE COPY

From:
To: kathy.stark@Eng.Sun.COM
Cc: frederic.herrmann@Eng.Sun.COM, gia-khanh.nguyen@Eng.Sun.COM, rebecca.ramer@E
Subject: P5592 - Invention Disclosure - Stark
Date: Thu 19:34:00 -0700 (PDT)

Kathy,

Here's a copy of your disclosure with the Sun reference number assigned to it (P5592). Please use this reference number when referring to this matter in the future. Should you have questions regarding the status of this disclosure, please contact your Managing Sun Attorney (listed below). Questions regarding any patent incentive payments should be directed to Kristine Bombaci, Incentive Program Specialist, x60821. Thank you again for submitting this disclosure!

Kristine:

Approved for bonus?
\$150 each
1) Kathy Stark
2) Fred Herrmann
3) Nguyen Gia-Khanh
4) Rebecca Ramer

Note to the inventor(s): If approved, the incentive transaction will be processed two weeks from today. This means that your incentive payment may not show up until the pay period after the processing date.

| | | |
|--------------------|-----------------------|-------------------|
| STARK, KATHY | kathy.stark@Eng | UMPK16-202 x89327 |
| HERRMANN, FREDERIC | frederic.herrmann@Eng | UMPK16-202 x84201 |
| NGUYEN, GIA-KHANH | gia-khanh.nguyen@Eng | UMPK16-202 x84230 |
| RAMER, REBECCA | rebecca.ramer@Eng | UMPK16-202 x88934 |

----- Begin Forwarded Message -----

X-Unix-From: nobody@patents.Corp.Sun.COM Thu 7:22:27 2000
Date: Thu, : 2000 17:22:26 -0700 (PDT)
To: undisclosed-recipients::

NEW INVENTION DISCLOSURE BY Kathy Stark
(kathy.stark@Eng)

ATTORNEY-CLIENT PRIVILEGED COMMUNICATION

Here is your copy of the new Invention Disclosure that you have just submitted. We will contact you shortly about preparing the patent application.

Thank you, Kathy Stark, for submitting this disclosure.

Generated by the SunWeb Patent Disclosure Form, v. 1.5.2 []
Found at: <http://patents.corp>

BEST AVAILABLE COPY

P5592 - Invention Disclosure - Stark

This is a new disclosure from Network Service Provider: Other SOFTWARE
High-Availability Telecom Software

Attorney Responsibility:
Sun Primary Attorney: Anirma Gupta
Managing Sun Attorney: Anirma Gupta

Note that the following sections are not in the same order
as you entered on the form.

8. Division - Business Unit

Network Service Provider: Other SOFTWARE High-Availability Telecom Software

8B. Technical Category

The Technical Category is:

9. DEPARTMENT, etc.

Department: NSP SW-US ENGINEERING
Manager: David W. Hendricks
Project: Saratoga - CGHA-Container
Product(s): Carrier-Grade High Availability Platform

1. TITLE: Cluster System Service Coordinator

This invention relates primarily to: SOFTWARE

2. BACKGROUND AND RELATED ART

A. The technical problem is as follows:

The middleware layer of a cluster platform for HA (Highly Available) and HA-Aware applications consists of a set of interrelated system services.

These services themselves must be HA and HA-aware in order to support the client applications. The interdependencies among the services, and the fact that the services themselves must first be fully functional before they provide services to applications, means that they cannot be managed for high-availability in the same way as applications.

The cluster system service coordinate provides a primitive mechanism by which the components of interdependent middleware system services are managed so that they provide HA services on the cluster platform

B. The Closest Related Art is as follows:

The Solaris "init" feature provides a mechanism for coordinating the start-up of processes at system boot time. (Solaris manpage init(1M)) It starts different processes at different run-levels as prescribed by a system configuration file.

Sun Cluster, and other cluster platforms, have the notion

7194485922 - Invention Disclosure - Stage 1

of service instances that take on a primary/secondary/spare, role, and a manager service that assigns the role. The role assignments may coincide with a Masterhip role assignment to a particular node in the cluster.

3. DRAWING(S)

Drawings for this invention are UNAVAILABLE.

Comments about providing drawings:

4. WRITTEN DESCRIPTION

The invention is described as follows:

The Cluster System Service Coordinator (CSSC) coordinates the initialization and shutdown actions of the CGHA middleware service components. The CSSC also provides a mechanism for coordinating the assumption of primary/secondary/spare roles by components of centralized system services whose primary servers reside on the designated master node. The mechanism is an alternative to Component Role and Instance Manager (CRIM) role management that is independent of the services that are in flux during role changes. The separate mechanism avoids 'chicken and egg' problems related to the failover of interdependent system services that include the CRIM itself. The CSSC provides its coordination service by invoking callbacks in an ordered sequence in response to administrative action and node change notifications from the Cluster Membership Monitor (CMM).

5. CONCEPTION OF INVENTION

Date of conception: Around
Date of first written description: Before

6. REDUCTION TO PRACTICE

Has the invention been reduced to practice?

Comments, if any, on conception of invention and/or first written description:

Currently, the earliest written record I've uncovered is email containing the second or third update of notes on the initial concept.
The email is dated

7. INVENTOR(S)

INVENTOR 1:
EIN: 9619

P5-92 - Invention Disclosure - Start

Name: Kathy T. Stark
Address: 1210 Sandalwood Lane Los Altos, CA 94024
Citizenship: US
Payroll:

INVENTOR 2:
EIN: 70596
Name: Frederic E Herrmann
Address: 3714 Carlson Circle Palo Alto, CA 94306
Citizenship: French
Payroll:

INVENTOR 3:
EIN: 70599
Name: Nguyen Gia-Khanh
Address: 3089 Ryan Ave Santa Clara, CA 95051
Citizenship: French
Payroll:

INVENTOR 4:
EIN: 88130
Name: Rebecca A Ramer
Address:
Citizenship: US
Payroll:

INVENTOR 5:
EIN:
Name:
Address:
Citizenship:
Payroll:

COMMENTS on inventors or inventorship:

Fred Herrmann and Gia-Khanh Nyugen are responsible for the initial concept.
Kathy Stark and Rebecca Ramer are the lead developers responsible for refining the concept.

10. DATES OF PRODUCT TESTING AND RELEASE

Alpha Testing:
Beta Testing:
General release or sale:

COMMENTS on product testing and release:

11. DISCLOSURE OF INVENTION

Has there been any disclosure of the invention? NO

12. INTERNAL DISCLOSURE(S)

Page 13/15 - Invention Disclosure - Stark

First disclosure date (internal at Sun):

Name of first discloser at Sun: Internal development team

COMMENTS about first internal disclosure:

There was a small engineering group meeting consisting of the engineers concerned with the detailed design and development of the CSSC on .), where we reviewed the first or second draft of Gia-Khanh Nguyen's engineering notes on the concept of the CSSC.

Participants included

Gia-Khanh Nyugen

Eltefaat Eshokri

Plamen Petrov

Rebecca Ramer

Kathy Stark

13. ARTICLE(S)

Have any articles been published? NO

DETAILS about publication of article(s):

14. ADVERTISEMENTS, PRESS RELEASES AND PRODUCT ANNOUNCEMENTS

Any ads, press releases or product announcements? NO

DETAILS about any ads, press releases and product announcements:

15. OUTSIDE DISCLOSURE(S)

Have there been any disclosures outside Sun? NO

Were all outside disclosures under NDA?

DETAILS about any disclosures outside Sun:

16. TRADE SHOWS AND CONFERENCES

Are there any upcoming trade shows or conferences? NO

DETAILS about upcoming trade shows and/or conferences:

17. OUTSIDE COUNSEL:

18. RELATED CASES

This is related to the disclosure for the Component Role and Instance Manager (CRIM) middleware service for the Carrier-Grade High Availability Platform.

ADDITIONAL COMMENTS BY INVENTOR:

This invention disclosure was submitted by Kathy Stark, whose email address is:
kathy.stark@Eng

Server protocol: HTTP/1.0
Remote host:
Remote IP address: 129.146.75.161

----- End Forwarded Message -----

P5592 - Invention Disclosure - Stark